

## DESIGNATION OF ACCOUNTANT

1) Investment Adviser

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

CRD Number: \_\_\_\_\_

2) Accounting Firm

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

3) Audit date covered by the agreement: \_\_\_\_\_  
(month / day / year)

4) The contractual commitment to conduct the broker's or dealer's annual audit:

( ) is for the annual audit for the fiscal year ending \_\_\_\_\_.

( ) is of a continuing nature, providing for successive yearly audits.

- **If this commitment is not of a continuing nature, it will be necessary to file this form each successive year.**

Accountant's Signature: \_\_\_\_\_

Print Accountant's Name \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_